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I hereby certify that, on the date shown below, this correspondence is being:  
☒ deposited with the United States Postal Service in an envelope addressed to: BOX  
SEQUENCE, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231,  
☒ under 37CFR § 1.8(a), with sufficient postage as first class mail, or  
☐ under 37CFR § 1.10, as "Express Mail Post Office to Addressee" Mailing Label No. \_\_\_\_\_

PATENT

Attorney Docket No.  
DX0686Q

CN 028008

☐ transmitted by facsimile to the Patent and Trademark Office, Fax Number \_\_\_\_\_  
Attention: Examiner \_\_\_\_\_

Date: November 9, 2001 By: Lois E. Miller  
Lois E. Miller

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

GORMAN & MATTSON

Serial No.: 09/671,658

Filed: September 27, 2000

For: MAMMALIAN CELL SURFACE  
ANTIGENS; RELATED REAGENTS

Examiner: Jamroz, M

Art Unit: 1644

COMPUTER READABLE  
SEQUENCE SUBMISSION

Palo Alto, California 94304

November 9, 2001

5 BOX: Sequence  
Assistant Commissioner for Patents  
Washington, D.C. 20231

10 Sir:

**COMPLIANCE WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

15 In reply to receipt of a "Notice to Comply" with requirements for patent  
applications containing nucleotide sequence and/or amino acid sequence  
disclosures dated November 5, 2001, for the above-identified application, in  
accordance with 37 CFR § 1.821 - 1.825, Applicants hereby submit: (1) a write-  
protected diskette containing a computer-readable submission for the "Sequence  
20 Listing"; and (2) a "Sequence Listing" paper copy of the contents of the diskette.

REMARKS

25 Enclosed is a write protected floppy diskette with the sequence listing  
generated by the Patent Office's PATENTIN program. The Diskette should comply  
with the requirements of 37 CFR §1.824 and is IBM PC compatible with a PC-  
DOS/MS-DOS operating system. If the diskette has been damaged, please call  
Applicants and a replacement diskette will be provided. A hard paper copy printout  
of the diskette is attached thereto.



#12/B 1/12/02  
TECH CENTER 1600/2900  
JAN 09 2002  
RECEIVED

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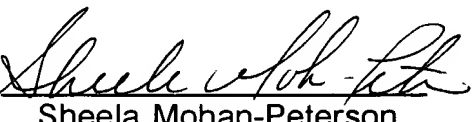
I hereby state the informational contents of the paper and computer readable copies of the Sequence Listing, submitted in accordance with 37 CFR 1.821(c) and (e), respectively, are believed to be the same. This submission  
5 introduces no new matter, since enclosed sequences are the same as sequences which were submitted in priority documents.

Applicants have invested significant labor and care in preparing the present submission. The enclosed items are a bona fide effort to bring the present  
10 application into full compliance with the rules for sequence submissions. Should this not be the case, Applicants respectfully request notification of specific deficiencies and an opportunity for remedy, as described in 37 CFR 1.135(c).

Applicants believe that no fees are required; however, if any fees are  
15 required by the present Response, the Commissioner is authorized to charge any fees or credit any overpayment to DNAX Research Institute Deposit Account No. 04-1239.

Respectfully submitted,

20  
Date: November 9, 2001

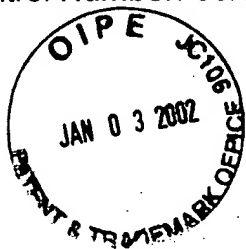
By:   
Sheela Mohan-Peterson  
Attorney for Applicants  
Reg. No. 41,201

25  
enclosures and attachments:  
one write-protected diskette (CRM)  
paper copy of contents of diskette (4 pages)  
30 Copy of "Notice to Comply" with sequence listing rules

35  
DNAX Research Institute  
901 California Avenue  
Palo Alto, California 94304-1104  
Main: (650) 496-6400  
Direct: (650) 496-1244  
Fax: (650) 496-1200

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Art Unit: 1644



DETAILED ACTION

**Sequence Compliance**

1. This application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 CFR 1.821(a)(1) and (a)(2). However, this application fails to comply with the requirements of 37 CFR 1.821 through 1.825 for the reason(s) set forth on the attached Notice To Comply With Requirements For Patent Applications Containing Nucleotide Sequence And/Or Amino Acid Sequence Disclosures.

Applicant is reminded to amend the specification (including the Brief Description of Drawings) and claims as appropriate to reflect compliance with the Sequence Rules.

2. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Megan Jamroz, whose telephone number is (703) 308-8365. The examiner can normally be reached Monday to Friday from 8:00 to 4:30. A message may be left on the examiner's voice mail service. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Christina Chan can be reached at (703) 308-3973. Any inquiry of a general nature or relating to the status of this application should be directed to the Technology Center 1600 receptionist whose telephone number is (703) 308-0196.

Papers related to this application may be submitted to Technology Center 1600 by facsimile transmission. Papers should be faxed to Technology Center 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of papers must conform with the notice published in the Official Gazette, 1096 OG 30 (November 15, 1989). The CM1 Fax Center telephone number is (703) 305-3014.

Margaret (Megan) Jamroz, Ph.D.  
Patent Examiner  
Technology Center 1600  
November 1, 2001

PHILLIP GAMBEL  
PHILLIP GAMBEL, PH.D  
PRIMARY EXAMINER  
TECH CENTER 1600  
11/2/01

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**Notice to Comply**

TYPE JC106  
JAN 03 2002  
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Application No.

09/671,658

Examiner

Margaret E Jamroz

Applicant(s)

GORMAN ET AL.

Art Unit

1644

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1.114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other:

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☐ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216.

For CRF Submission Help, call (703) 308-4212

PatentIn Software Program Support

Technical Assistance.....703-287-0200

To Purchase PatentIn Software.....703-306-2600

**PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR REPLY**

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## SEQUENCE LISTING

RECEIVED  
JAN 0 9 2002  
TECH CENTER 160012900

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Mattson, Jeanine D.

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53

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B,  
could